CHAPTER 6

OFFICER SERVICE RECORDS

This chapter discusses officer service records and some of the ways in which you, the Personnelman (PN), will come into contact with these records. You will read about how officer personnel records are created and verified. You will also read about permanent officer microfiche records and officer field service records, the officer's junk jacket, and the transfer and disposition of officer service records and health treatment records.

Depending on where you are stationed, you maybe tasked with maintaining officer service records along with enlisted service records. You may have already been involved in making entries in officer service records as well as performing officer transfers and receipts. This is why all PNs must be familiar with officer service records. After studying the information in this chapter, you should be able to recognize your potential role in the creation, maintenance, and verification of officer service records and understand certain procedures involving officer transfers and receipts.

As the Navy continues to downsize, the consolidation of officer and enlisted records may occur. Keep in mind that this will be a gradual process, and your professional responsibilities may change as a result. You may be assigned to a command in which the maintenance of officer and enlisted records is the responsibility of both the Yeomen (YNs) and the PNs. As Navy ratings change, merge, and diversify, you must prepare yourself for the possibility of having to maintain both officer and enlisted personnel records.

As in the case of enlisted personnel records, the information contained in officer field service records is only for the eyes of personnel who are directly involved with the handling of these records. If you are involved in handling officer service records, make certain they are secure. Even if you consolidate officer and enlisted records in one place for the sake of convenience, make sure you maintain them in separate files in a secure place.

CREATION OF OFFICER PERSONNEL RECORDS

According to the *Naval Military Personnel Manual*, (MILPERSMAN), Article 5030131, the

following two personnel records are created and maintained for each officer of the Navy and the Naval Reserve:

- 1. The permanent record in microfiche form maintained by the Chief of Naval Personnel (CHNAVPERS).
- 2. The U.S. Navy Officer Service Record, NAVPERS 1070/66, and the Military Health Treatment Records, NAVMED 6150/10-19 (Medical and Dental), maintained in paper format by the officer's current duty station. An example of an officer service record is shown in figure 6-1.

These records are the property of the U.S. Government and not the officer. The review or release of these records is limited to personnel who require access to the records in the performance of their official duties. You will read more about the two required officer personnel records. First, let's take a look at how an officer service record is created or "opened."

OPENING THE OFFICER SERVICE RECORD

The activity delivering the officer appointment creates (opens) the officer service record when a person accepts a commission in the Regular Navy or Naval Reserve. According to the MILPERSMAN, Article 5030120, that activity must also verify the contents of each document and the overall service record. Upon a member's application and acceptance of appointment to commissioned status, the activity creates the officer service record by verifying and forwarding the officer's commissioning and other service record documents (as indicated in the MILPERSMAN, Article 5030131) via Commander, Navy Recruiting Command (COMNAVCRUITCOM), Code 13, to CHNAVPERS (PERS 313C1). As a PN, you may become involved in the verification and forwarding procedures involved in opening officer service records.

NOTE: If an officer candidate or Naval Academy midshipman either is disenrolled from training and retained in the naval service as an enlisted member, or is discharged with an entry level separation, or is deceased, your command must follow the procedures

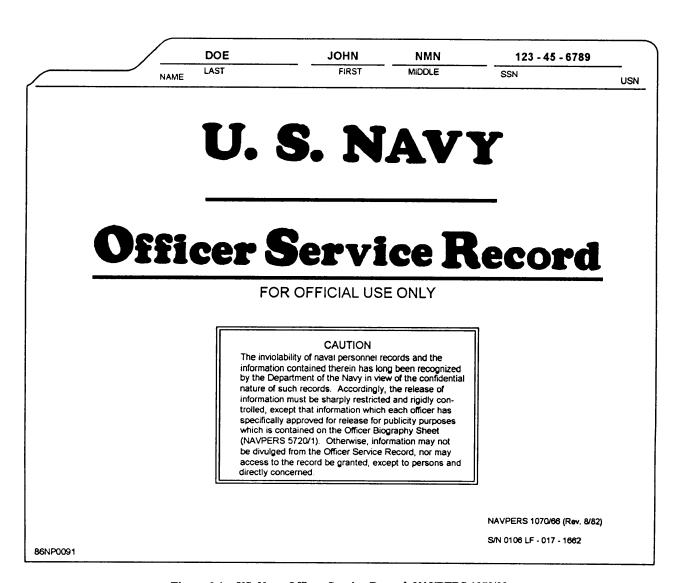


Figure 6-1.—US. Navy Officer Service Record, NAVPERS 1070/66.

contained in the MILPERSMAN, Articles 5030130 and 5030140.

VERIFYING DOCUMENTS

According to the MILPERSMAN, Article 5030120, you must verify that each officer service record created and/or maintained by your command contains all the required documents. Ideally, you should perform this verification in the presence of the officer.

Purging Excess Documentation

Remove and give directly to the officer any documents and correspondence that relate to the officer's tour at the present command but have no permanent historical value in the personnel administration of the officer's career. Another option you have is to file them in the officer's junk jacket.

Verifying the Certificate of Personnel Security Investigation

Make sure the record contains the Certificate of Personnel Security Investigation, Clearance and Access, OPNAV 5520/20. Any significant discrepancies that affect the accuracy of entries or completeness of this record must be reconciled before transfer of the officer. Discrepancies noted after the transfer must be resolved with the command at which the error occurred. The new command must communicate with the command at which the error occurred and the previous command must provide full details, recommend corrective action, and attach substantiating documents as appropriate.

Verifying the Dependency Application/Record of Emergency Data

Interview the officer to make certain the Dependency Application/Record of Emergency Data, NAVPERS 1070/602, is current and any Servicemen's Group Life Insurance (SGLI) beneficiary designations recorded on the Servicemen's Group Life Insurance Election and Certificate, SGLV-8286, are according to the officer's desires.

FORWARDING DOCUMENTS

To create a permanent record for newly commissioned officers, you must forward officer record documents (as indicated in MILPERSMAN, Article 5030131 and as discussed earlier). You must securely fasten the documents in a single complete group for each officer. You may send documents for several officers in a single mailing envelope or container. Mark the mailing envelope or container "OFFICER APPOINTMENT - DO NOT OPEN IN THE MAILROOM."

Now that you have read about the procedures for opening an officer service record, you need to understand some of the more important aspects of the two required records-the permanent microfiche record and the service field record.

PERMANENT MICROFICHE OFFICER RECORD

According to the MILPERSMAN, Article 5010110, the permanent microfiche officer service record is maintained by CHNAVPERS. This record is intended to reflect the official history of the officer's career in the Navy and should contain any document that bears or reflects on the character, performance, professional qualifications, and fitness of the officer. Documents of a personal nature such as birth certificates, marriage licenses, and court decrees are not filed in the permanent microfiche record.

The permanent microfiche officer service record is the property of the U.S. Government and not the officer concerned. The officer microfiche record, as in the case of the enlisted microfiche record, is of particular importance in selection for promotion. It is reviewed when any change in status is contemplated, such as assignment to duty, special details, trial by general court-martial, and/or disciplinary action by CHNAVPERS. The review of officer service records is limited to personnel who are required to review these

records in the performance of their official duties according to the MILPERSMAN, Article 5010110. Refer to the MILPERSMAN, Article 5010110, for additional information concerning the permanent microfiche officer record. Also refer to the MILPERSMAN, Article 5010125, which discusses the availability of these records.

OFFICER FIELD SERVICE RECORD

According to the MILPERSMAN, Article 5030160, the U.S. Navy Officer Service Record, NAVPERS 1070/66, is kept for each current officer of the Regular Navy or Naval Reserve. This record is known as the officer field service record and is the officer personnel record that you, the PN, will most likely encounter. It consists of a flat folder bearing the officer's full name and social security number (SSN). As in the case of enlisted service records, all signatures in officer service records must be in black or blue-black ink.

PURPOSE

The officer field service record serves a dual purpose. First, it serves as a record of vital events in an officer's career for use in assignment, promotion, and permanent recordkeeping. If the permanent microfiche record is lost or damaged, the field service record becomes the first source of replacement documents. Second, the officer field service record assists the commanding officer in making daily personnel decisions.

MANAGEMENT

Maintenance and management of the officer field service records depend on the location where the records are maintained and the responsibilities associated with maintaining these records.

Location

Normally, the location of an officer's service record will depend on the officer's assigned duty station. The personnel support activity detachment (PERSUPPDET) maintains officer service records for officers stationed ashore. The ship's personnel and/or administrative office maintains these records for officers who are stationed aboard ship. For officers attached to a squadron, the field service records are normally maintained in the administrative office

ashore. If the squadron deploys, it is not uncommon for a command to maintain both the enlisted and officer service records in one administrative office.

Responsibility for Content

Although the officer service record is the property of the U.S. Government and not the officer, the commanding officer and the individual officer are jointly responsible for making sure the service record is complete, and that it contains information pertinent to the officer's career.

Adverse Matter

Adverse matter in an officer service record requires a special process. Adverse matter is not filed in the service record without first affording the officer an opportunity to review the material and submit a statement concerning it. If the officer chooses to make no statement, that intention is indicated in writing either by the officer's signed and dated declination or the expiration of a stated period of time (of which the officer was previously advised) during which the officer could have submitted a statement.

STANDARD FILING SEQUENCE FOR FIELD SERVICE RECORD DOCUMENTS

When documents are submitted or received on behalf of an officer, the PN is often responsible for filing them in the service record. You must learn to file these documents on the appropriate side and in the correct sequence. Remember, not all documents you will read about in this chapter will apply to every officer. The examples in this chapter are intended to show you the standardized filing sequence of the documents that are most frequently found in officer field service records.

You should normally file only the current copy of each document. Remember, the officer service record should contain only the required information. This record is not intended to be a depository for wills or other documents of a personal nature. In maintaining this record, you may have to purge excess information.

In the following sections, you will read about the correct sequence in which required documents should be filed. You will learn which documents need to go on the left side, which need to go on the right side, and the order in which the documents should appear. In the examples shown, a **(T)** appears in front of specific documents, identifying these documents as temporary. These are the ones you should remove from the field service record and return to the officer upon the officer's permanent change of station (PCS) transfer.

Left Side

The following documents should go on the left side of the officer service record. File them in the following order with the first document mentioned on top:

- Record Identifier for Personnel Reliability Program, NAVPERS 5510/1.
- Record of Disclosure, Privacy Act of 1974, OPNAV 5211/9. (A sample of this form is shown in fig. 6-2.)
- Personnel Reliability Program Screening and Evaluation Record, NAVPERS 5510/3.
- Certificate of Personnel Security Investigation,
 Clearance and Access, OPNAV 5520/20.
- (T) Official correspondence from current command; for example, letters of appreciation and commendation, and temporary designation letters.
 - Current PCS orders and all endorsements.
- Officer Application/Orders for Inactive Duty Training, NAVRES 1321/1.
- Inactive Duty Training Orders: Termination/Cancellation Modification, NAVRES 1321/2.
- **(T)** Certificates from Navy schools, training, and correspondence courses.
 - Personal and unit award citations.
- Letters of permanent warfare designation, significant qualifications, special duty assignments, and incentive pay.

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Figure 6-2.—Record of Disclosure, OPNAV 5211/9.

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Figure 6-3.—Drug and Alcohol Abuse Statement of Understanding, OPNAV 5350/1.

- Drug and Alcohol Abuse Statement of Understanding, OPNAV 5350/1. (A sample of this form is shown in fig. 6-3.)
- Montgomery GI Bill (MGIB) Act of 1984, DD Form 2366. (A sample of this form is shown in fig. 6-4.)
- Statement of Understanding—Selected Reserve Educational Assistance Program, OPNAV 1780/1.
- Selected Reserve Educational Assistance Program (GI Bill) Notice of Basic Eligibility, DD Form 2384.

- Personnel Security Questionnaire (PSQ), DD Form 398. (A sample of the front section of this form is shown in fig. 6-5.)
- Request for Personnel Security Investigation (PSI), DD Form 1879 (if PSI pending).
 - Statement of Service, NAVPERS 1070/877.
- Notification of Eligibility for Retired Pay at Age 60, NRPC 1820/6.
- NAVCRUIT Forms, Officer Program Statement/Service Agreement.

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Figure 6-4.—Veterans' Educational Assistance Act of 1984 (GI Bill), DD Form 2366.

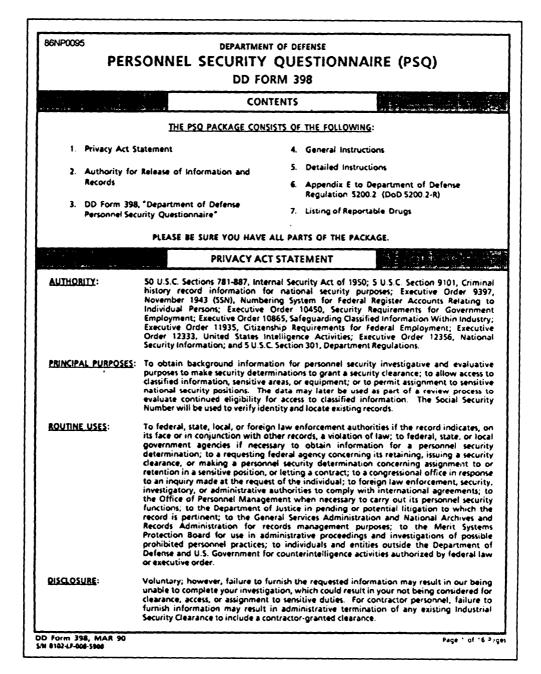


Figure 6-5.—Personnel Security Questionnaire (PSQ), DD Form 398.

• Geneva Conventions Identification Card for Medical and Religious Personnel Who Serve in or Accompany the Armed Forces, DD Form 1934. (This form may be placed in an envelope and stapled to the inside, left cover.)

Right Side

The following documents should go on the right side of the officer service record. File them in the following sequence with the document mentioned first on top

- Administrative Remarks, NAVPERS 1070/613.
- History of Assignments, NAVPERS 1070/605.
- Officer Data Card, NAVPERS 1301/51.
- Limited Duty/Warrant Officer History Card, NAVPERS 1070/1 25.
- Officer Qualification Questionnaire, NAVRES 1301/4.
- Officer Qualifications Questionnaire, NAVPERS 1210/5. (A sample of this form is shown in fig. 6-6.)

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Figure 6-6.—Officer Qualifications Questionnaire, NAVPERS 1210/5.

- Dependency/Status Action, NAVCOMPT 3072.
- Servicemen's Group Life Insurance Election and Certificate, SGLV-8286.
- Current copy of the Application for Uniformed Services Identification Card/DEERS Enrollment, DD Form 1172. (A sample of this form is shown in fig. 6-7.)
- Dependency Application/Record of Emergency Data, NAVPERS 1070/602.

- Officer Photograph Submission Sheet, NAVPERS 1070/10. (A sample of this form is shown in fig. 6-8.)
- Certificate of Release or Discharge from Active Duty, DD Form 214 (ALL).
- Ready Reserve Transfer Request/Service Agreement, NAVPERS 1200/1.
- Delivery of Temporary/Permanent Appointment, NAVPERS 1421/7 (for present grade).

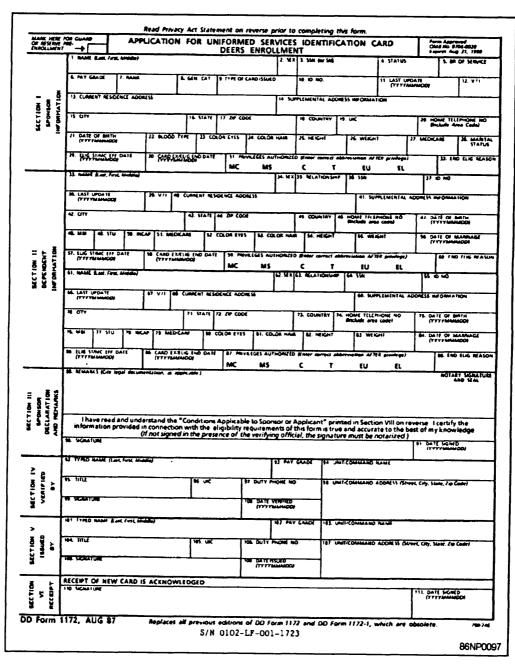


Figure 6-7.—Application for Uniformed Services Identification Card/DEERS Enrollment, DD Form 1172.

	ad for official prise cord which is used in mandatory failure al Security No.) al Security No.)
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a. Upon original appointment to commissioned grade	as follows:
a. Upon original appointment to commissioned grade	as follows:
a. Upon original appointment to commissioned grade	as follows:
(summer whites may be used where khakis are not authorized for summer wear), uncovered, with forward, against a plain contrasting background, in a size approximately four inches in width and five it. 3. A menu board of hand-lettered title board (two inch high letters), with the member's last name, initial(s), rank, designator, SSN, date the photograph was taken (in year, month and day sequence), stor near the member's last foot. 4. Group picture's are not acceptable. 5. Photographs submitted become property of the Navy Department and may be used for rout accordance with the Privacy Act of 1974, and if authorized by the individual for public attains releases. 5. OPNAVINST 5290 1 Management and Operation of Navy Audiovisual Activities, authorizes naval an established photographic laboratory, when requested, to produce photographs for this purpose.	ncres in neight. first and middle sall be placed at ne purposes in
(Attach photograph with staples) 7. Secure photograph against breakage or creasing, label shipping container in upper left-hand corns forward to the Comminander, Naval Military Personnel Command (NMPC-313C), Department of the 20370-5313. 8. Lauthorize release of my photograph for public affairs releases: YES NO	r "PHOTOGRAPH" Navy, Washington
(Signature)	

Figure 6-8.—Officer Photograph Submission Sheet, NAVPERS 1070/10.

- Acceptance and Oath of Office, NAVPERS 1000/22 (ALL).
- Officer Appointment, Acceptance and Oath of Office, NAVCRUIT 1000/20 (ALL). (A sample of this form is shown in fig. 6-9.)
- Officer's Report of Home of Record and Place From Which Ordered to a Tour of Active Duty, NAVPERS 1070/74. (A sample of this form is shown in fig. 6-10.)

Whenever you receive officer service record documents, remember to file them on the correct side in the correct order. At times, you will run across documents that do not belong in the officer service record. In the following section, you will read about an unofficial file in which you can store these documents temporarily—the officer junk jacket.

OFFICER JUNK JACKET

During the course of an officer's career, numerous documents are updated and/or received. To make sure

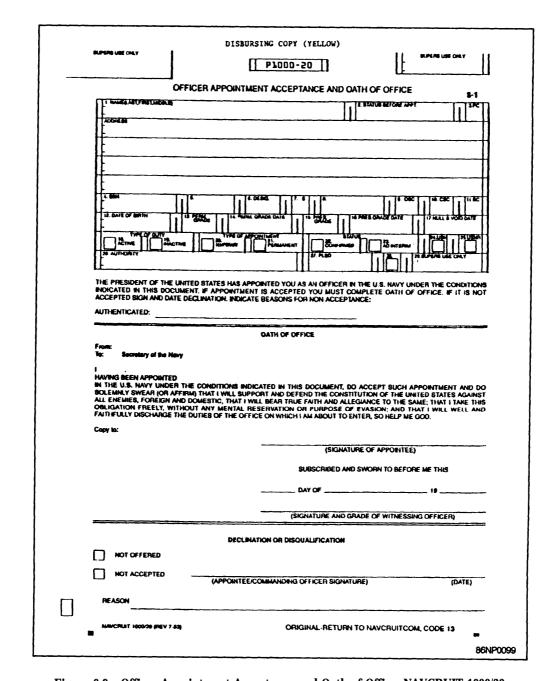


Figure 6-9.—Officer Appointment Acceptance and Oath of Office, NAVCRUIT 1000/20.

the old documents such as temporary additional duty orders, previous PCS orders, and so on, are not lost or destroyed, and to provide the officer with a means to obtain historical information, an unofficial file record commonly referred to as the officer's junk jacket should be initiated and maintained along with the officer's service record. Although many commands prefer that officers maintain their own junk jackets, the junk jacket should actually be maintained by the personnel office and/or administrative office that maintains the officer's service record and not by the individual officer concerned.

To distinguish the officer's service record from the officer's junk jacket, you should use a different color of labeling tape on both records. On the junk jacket, you should record the officer's full name and SSN along with the words *junk jacket* across the top. This will reduce confusion between the officer's service record and the junk jacket.

The junk jacket should be delivered to the officer when the officer either transfers to a new duty station or leaves the Navy.

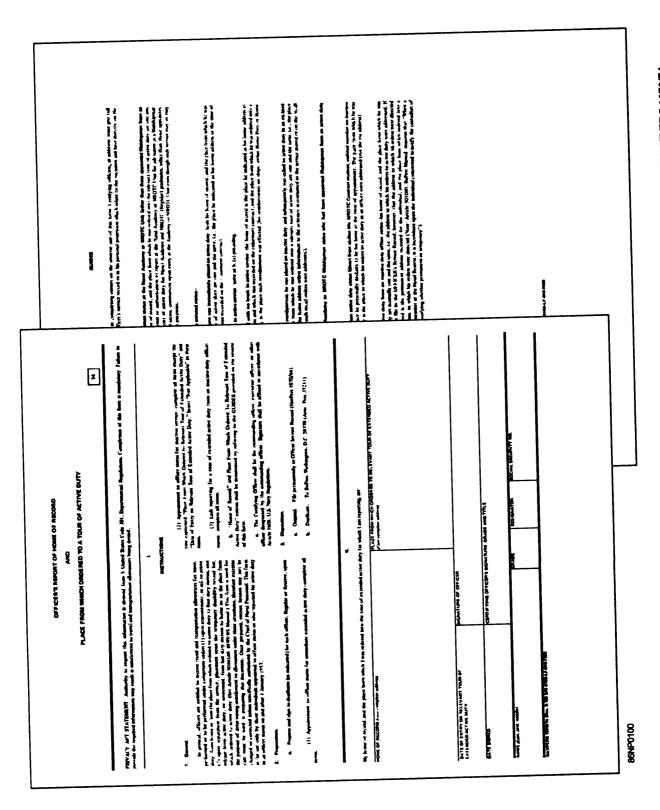


Figure 6-10.—Officer's Report of Home of Record and Place From Which Ordered to a Tour of Active Duty, NAVPERS 107074.

TRANSFER AND DISPOSITION OF OFFICER SERVICE RECORDS AND HEALTH TREATMENT RECORDS

In this section, you will read about the distinction between open and closed officer service records, and the transfer and disposition procedures for these records. This section will provide you with basic information to help you understand the transfer and disposition of officer service records; however, you should not use this training manual (TRAMAN) as the sole reference. Whenever you are involved in the transfer and disposition of officer service records, make sure you always refer to the MILPERSMAN, Article 5030141, for guidance.

OPEN AND CLOSED SERVICE RECORDS

According to the MILPERSMAN, Article 5030141, the status of an officer determines whether the officer's service record is closed or remains open.

Open Service Record

The service record remains open for officers who maintain status in the Regular Navy or Naval Reserve. To maintain status, an officer must either remain on active duty or be retained in an active or inactive status in a Reserve component.

Closed Service Record

The service record is closed when an officer loses naval status.

To lose status, the officer must resign or be discharged, dismissed, or retired with no further military obligation.

RECORDS TRANSFER PROCEDURES

As a PN, you may be assigned as the service record custodian. As service record custodian, you may be tasked with transferring officer service records.

Preparation Procedures

Your first step will be to compare and combine the service record and the military health treatment record (medical and dental) and, when appropriate, the personal financial record (PFR) into a one-record packet. Before the officer's transfer, verify the service record and remove the temporary documents (those applicable to the local command) and give them to the

officer. Make sure you carry out these procedures according to the MILPERSMAN, Article 5030120.

Transfer Procedures

Always transfer the open service record or health treatment record packet to the activity that will next administer these records. This packet may be hand-carried by the officer concerned or you can send it to the receiving activity. To mail it, place the one-record packet in a sealed envelope and send it via the U.S. Postal Service First-Class Mail using the Records Transmittal, NAVPERS 5000/64. You must do this no later than the day following the officer's transfer or separation date.

If your command wants the receiving activity to acknowledge receipt of the packet, you should include in the mailing envelope or container an additional copy of the NAVPERS 5000/64 and a self-addressed return envelope. The receiving activity should acknowledge receipt by signing the transmittal sheet and returning it to your command in the self-addressed envelope.

For an officer released to inactive duty and affiliated with a drill unit of the Naval Reserve, send the following service record documents to CHNAVPERS (PERS 313C1) to update the permanent microfiche record:

- Copy of separation orders and endorsements
- Copy number 2 of the Certificate of Release or Discharge from Active Duty, DD Form 214

If the officer is not affiliated with a drill unit, transfer the records to the Naval Reserve Personnel Center (NAVRESPERSCEN), Code 401.

If an officer reports for duty without a service record, the gaining command must either obtain the missing record or reconstruct a new one. If documents necessary for adequate reconstruction cannot be obtained from the individual officer, your command should request a copy of only the essential documents from the permanent record from CHNAVPERS (PERS 313C1) according to the MILPERSMAN, Articles 5010125 and 5010280.

When the officer service record remains open, use the following procedures to transfer the records:

• For an officer with PCS or temporary duty orders, transfer the records either by letting the officer hand-carry them or by mailing them to the officer's (next) reporting activity.

- For a Reserve officer recalled to active duty or assigned to active duty for special work (ADSW), transfer the records with the officer or forward them to the activity that will process the member to active duty.
- For a Reserve officer assigned to active duty training (ADT) over 29 days, transfer the records with the officer or forward them to the activity designated on the ADT orders.
- For a Reserve officer whose inactive duty training orders have been modified for a new assignment, transfer the records to the new record custodian for the unit assigned.
- For a Reserve officer whose inactive duty training orders have been terminated and the member has been transferred to the Individual Ready Reserve (IRR), transfer the records to NAVRESPERSCEN, Code 401.
- For a Reserve officer terminated from a drill unit with a further military obligation, transfer the records to NAVRESPERSCEN, Code 401.
- For an officer transferred to the Temporary Disability Retired List (TDRL), transfer the records to NAVRESPERSCEN, Code 401.
- For an officer retired and retained in an active status, transfer the records with the officer or forward them to the next duty station.
- For an officer in a prisoner of war or missing status, transfer the records to CHNAVPERS (PERS 663). Mark the mail envelope "POW/MIA DO NOT OPEN IN MAILROOM."

RECORDS DISPOSITION PROCEDURES

You must be able to prepare and forward closed officer service records. For the most part, you will deal with the closed records for officers separated from the Regular Navy or Naval Reserve. This category includes any officer who resigns or is permanently discharged, dismissed, or retired with no further military obligation. Occasionally, you will deal with officer service records that have been closed for other reasons. In these cases, you must know the correct forwarding procedures. Since you will mostly deal with separations, let's look at these records first.

Officers Separated From the Regular Navy or Naval Reserve

For officers separated from the Regular Navy or Naval Reserve, you will always send the closed service record or health treatment record packet to NAVRESPERSCEN, Code 401.

Before forwarding the closed service record, however, remove the following documents and give them to the officer:

- The original officer separation orders and endorsements
- Copies 1 and 4 of the Certificate of Release or Discharge from Active Duty, DD Form 214
- Copy of the History of Assignments, NAVPERS 1070/605
- The original Officer Data Card, NAVPERS 1301/51
- Documents previously forwarded or not essential to the officer's permanent record according to the *Document Submission Guidelines for the Military Personnel Records System*, BUPERSINST 1070.27, including forms and correspondence maintained for local administrative purposes and of value to the officer

On the right side of the folder, retain the following documents in sequence with the first document described on top:

- Copy of the officer separation orders and endorsements
- Copies 2 and 7 of the Certificate of Release or Discharge from Active Duty, DD Form 214
- The original History of Assignments, NAVPERS 1070/605
- The original Administrative Remarks, NAVPERS 1070/613
- The original Security Termination Statement, OPNAV 5511/14
- Duplicate copy from the health treatment record of the Report of Medical Examination, SF 88 (separation physical examination)
- Latest duplicate copy of the health treatment record Report of Medical History, SF 93

Secure the service record and health treatment record together as a one-record packet. Mark the

outside cover of the U.S. Navy Officer Service Record, NAVPERS 1070/66, "RETIRED" or "DISCHARGED." Then, forward the one-record packet to NAVRESPERSCEN, Code 401.

NAVRESPERSCEN will subsequently forward the closed service record documents previously indicated to CHNAVPERS (PERS 313C1) to update the permanent record. The permanent personnel record and health treatment record are eventually sent to the National Personnel Records Center, St. Louis, Missouri, for final disposition or archival records.

Interservice Transfers

For interservice transfers, you must use different forwarding procedures, depending on the individual circumstances of each case.

INTERSERVICE TRANSFER TO ANOTHER BRANCH OF THE U.S. ARMED FORCES.— For an officer who is discharged from the Regular Navy or Naval Reserve for interservice transfer to another branch of the U.S. Armed Forces, transfer the officer's records to CHNAVPERS (PERS 253C). Mark the mailing envelope "INTERSERVICE TRANSFER - DO NOT OPEN IN MAILROOM." For additional information on interservice transfers, refer to the MILPERSMAN, Article 3830140.

TRANSFER TO ENLISTED STATUS.—
Occasionally, an officer will revert to enlisted status and remain on active duty. In this case, move the applicable documents such as security forms and page 2s to the

open enlisted service record. Retain the health treatment record at the current duty station. Transfer the closed officer record to NAVRESPERSCEN, Code 401.

Deceased Officers

For a deceased officer, send the closed service record or health treatment record packet to CHNAVPERS (PERS 663). Mark the mailing envelope "DECEASED - DO NOT OPEN IN MAILROOM."

SUMMARY

This chapter has discussed the creation of officer personnel records, verification of officer service records, officer microfiche records, and field service records and their contents. This chapter also discussed the officer's junkjacket, and the transfer and disposition procedures for officer service records and health treatment records. After studying this chapter, you should have a very good idea of what an officer service record is. You should also be able to identify the different pages that are filed in the officer service record and determine where they should be filed. If you are tasked with handling officer service records, you must remember that the information contained there is "for your eyes only." You cannot divulge any information from an officer's service record to any person, unless that person is authorized to obtain such information for the performance of his or her duties.